

Docket No. IL-11135Customer No. 24981

Commissioner for Patents  
Alexandria, VA 22313-1450

**NEW APPLICATION TRANSMITTAL**

Transmitted herewith for filing is the patent application of Inventor(s):  
**Scott A. Lerner, Charles L. Bennett, Jay V. Bixler, Paul J. Kuzmenko,  
Isabella T. Lewis**

For (title): **COMPACT REFRACTIVE IMAGING SPECTROMETER UTILIZING  
IMMERSED GRATINGS**

**1. Type of Application**

- ☒ This new application is for an original patent.
- ☐ This new application is a:
- ☐ Division
  - ☐ Continuation
  - ☐ Continuation-in-part (CIP)

**2. Benefit of Prior U.S. Application(s) (35 USC 120)**

- ☐ The new application being transmitted claims the benefit of prior U.S. application(s).

**3. ☐ Benefit under 35 U.S.C. 119(e) of United States provisional application(s) listed below:**

Application Serial No.	Filing Date
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**4. Papers enclosed which are required for filing Date Under 37 CFR 1.53(b).**

<u>14</u>	Pages of specification w/ title page
<u>3</u>	Pages of claims
<u>1</u>	Pages of abstract
<u>3</u>	Sheets of drawings
<input checked="" type="checkbox"/>	formal

**5. Additional papers enclosed**

- ☐ Preliminary Amendment
- ☒ Information Disclosure Statement
- ☒ Form PTO-1449

Docket No. IL-11135Customer No. 24981**6. Declaration or oath**

- ☒ Enclosed and executed by
- ☒ inventors
- ☐ legal representative of inventor(s) 37 CFR 1.42 or 1.43
- ☐ Not Enclosed

**7. Assignment**

- ☒ An assignment of the invention to The Regents of the University of California.
- ☒ is attached
- ☐ will follow

**8. Certified Copy**

Certified copy(ies) of application(s)

(country)	(application no.)	(filed)
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(country)	(application no.)	(filed)
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from which priority is claimed

- ☐ is(are) attached.
- ☐ will follow

**9. Fee Calculation**

CLAIMS AS FILED					
Type of Claim	Number Filed	Included in Basic Fee	Number Extra	Rate	Total Fee
Total Claims	24	-20 =	4	x \$18 =	\$ 72.00
Independent Claims	2	-3 =	0	x \$84 =	\$
				Multiple Claims	= \$
				Basic Filing Fee	= \$ 750.00
				Sub-Total	= \$ 822.00
				Small Entity Filing Fee=	\$ 411.00

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10. Small Entity Statement(s)

☐ Verified Statement that this is a filing by small entity under 37 CFR 1.9 and 1.27 is attached.

☒ Small Entity status is proper and desired

Filing Fee Calculation (50% of regular filing fee) \$ 411.00

11. Fee Payment

☐ Not Enclosed

☒ Enclosed (See Account No. Below)

**Total Basic Filing Fees To Be Paid** \$ 411.00

12. Method of Payment of Fees

☐ Check in the Amount of \$ \_\_\_\_\_

☒ Charge Account No. 12-0695 in the amount of \$ 411.00

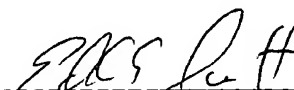
A duplicate of this transmittal is attached.

13. Instructions As To Overpayment/Underpayment

☒ credit/charge

Account No. 12-0695

☐ refund



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Dated: August 21, 2003

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Scott A. Lerner, et al. Attorney Docket No. : IL-11135  
Serial No. : Art Unit:  
Filed : Examiner:  
For : COMPACT REFRACTIVE IMAGING SPECTROMETER UTILIZING  
IMMERSED GRATINGS

Commissioner for Patents  
Alexandria, VA 22313-1450

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EV269145950US

Date of Deposit August 21, 2003

I hereby certify that the following *attached*

1. Recordation Cover Sheet (original and duplicate) w/ Assignment
2. New Application Transmittal (in duplicate)
3. Application  
(Specification w/Title page 14 pages, Claims 3 pages, Abstract 1 page)  
Three (3) sheets of formal drawings;
4. Combined Declaration and Power of Attorney
5. Information Disclosure Statement (1 page)
6. Form PTO-1449 (1 page)
  - a) 14 U.S. Patent Documents
  - b) 1 Foreign Patent Document
7. Express Mail Certificate
8. Return postcard

is being deposited with the United States Postal Service "Express Mail Post Office to addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Kathy E. Raymond

(Type or print name of person mailing paper)

Kathy E. Raymond

(Signature of person mailing paper or fee)